



ONBOARD SUCCESSFULLY

ONESCO Transition Timeline

FOR REGISTERED REPRESENTATIVE USE ONLY

ONESCO
THE O.N. EQUITY SALES COMPANY

A step-by-step process to ensure your move goes smoothly and is well organized

YOUR ACTION STEPS

ONESCO ACTION STEPS

1 MONTH PRIOR TO TRANSFER



Review current B/D contract.

Confirm specific provisions that may include a noncompete clause.



Complete and submit pre-hire form, if applicable.



Review ONESCO Errors & Omissions (E&O) coverage requirements.

E&O application should be submitted no more than 30 days in advance of appointment with ONESCO.



Review ONESCO products list (ONESCO-5828-C).

VA/VUL/FIA products require appointments through ONESCO prior to submitting business.



Review FINRA and SEC Reg BI disclosure requirements needed for the transfer of existing business.

Clients with brokerage accounts must receive FINRA notice via written communication.



Review optional third-party technology software available through ONESCO.

Contact ONESCO Technology Consultants with any questions.



Review ONESCO's email requirements.

Non-ONESCO domains are required to have email hosted with Smarsh/Intermedia.



Confirm agent standing with Ohio National. Upon processing of pre-hire, send online application.



Confirm clearing firm and participating product sponsors listed on ONESCO-5828-C.

3 WEEKS PRIOR TO TRANSFER



Request and submit ONESCO online application.

Email onescocc@ohionational.com to request the application. Submit FINRA fingerprint card and registration fees, including applicable non-registered personnel, to ONESCO.



Identify A, B, C list clients.

Prepare pre-approved client transition letters. Any changes will require ONESCO Compliance approval prior to use. *Letters may not be mailed to clients before effective date.*



Establish timetable for transition paperwork,

including follow-up procedures for tracking the return of clients' applications and forms.



Update and submit website and social media with required changes.

Please allow up to three weeks for processing website updates.



Review paperwork & e-Signature requirements

needed for the transfer of existing book of business. (ONESCO-5903 and ONESCO-5601)



Provide access to U-4 upon receipt of the online ONESCO application.



Contact applicant to schedule 1-on-1 transition training call.



Review paperwork requirements regarding existing book of business.

Contact us if you need assistance: onescotransition@ohionational.com

1 WEEK PRIOR TO TRANSFER



Return U-4. Await final processing instructions from ONESCO Contracting & Licensing.



Submit stationery (letterhead, business cards) for Compliance pre-approval.



Submit E&O application with intended effective date if not yet submitted.



Verify that all insurance licenses are current at NIPR.com.

Visit onfs.successscc.com to satisfy outstanding state specific training.



Submit VA, FIA and VUL appointment requests to ONESCO Contracting & Licensing. Please note: Business may not be submitted until confirmation of appointment is received from ONESCO.



Verify with the Marketing Department that email hosting and archiving are setup.



Request copy of termination letter upon final processing.



Communicate with key internal departments regarding rep transition.



Compliance will contact prospective rep for an introductory phone call.



Provide FINRA Rule 2273 Notice of Requirement to reps regarding brokerage account transfers.

DAY OF APPROVAL AND BEYOND



Welcome to ONESCO! Review email titled "ONESCO Documents – Signatures Required." Return required documents. Visit the New Rep tab on ON-Net.



Mail client transition letters with forms. Conduct meetings with clients to complete paperwork. Submit transition paperwork to OSJ/Home Office for processing.



Monitor your transition. Track clients' progress in completing necessary forms. Monitor completed accounts and transfer paperwork submitted to ONESCO.



Contact ONESCO Transition Department. Contact us at 877.663.7267 (Option 6) if you have questions regarding your transition to ONESCO.



Process transfer of securities registration based on effective date provided in termination letter.



Send approval email to rep upon ONESCO/ FINRA approval.



Process insurance company appointments. Allow 5 -10 days for processing.



Establish access to essential technology: Connect, Smarsh, etc.



Initial 90-Day Inspection Compliance will contact the new rep directly and send the New Representative Training link.

Visit ON-Net for more transition support details.

Go to onnet.ohionational.com > ONESCO > New Registered Representative

Give us a call – we're here to help.

Transition Department

877.663.7267 (Option 6)
onescotransition@ohionational.com

Sales & Marketing

877.663.7267 (Option 3)
onescomarketing@ohionational.com

STARTeam

877.663.7267 (Option 0)
onescost@ohionational.com

Contracting & Licensing

877.663.7267 (Option 7)
onescocc@ohionational.com

Securities are offered through The O.N. Equity Sales Company (ONESCO), Member FINRA/SIPC.

The O.N. Equity Sales Company Member FINRA/SIPC
One Financial Way | Cincinnati, Ohio 45242 | 877.663.7267 | joinonesco.com
Post Office Box 371 | Cincinnati, Ohio 45201-0371

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